



PATENT  
Customer Number 22,852  
Attorney Docket No. 08613.0002

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Application of: )  
)  
Douglas James LITTLE et al. ) Group Art Unit:  
)  
Serial No.: 09/991,914 ) Examiner:  
)  
Filed: November 26, 2001 )  
)  
For: METHOD AND APPARATUS FOR )  
DEVELOPING INVESTMENTS )

Assistant Commissioner for Patents  
Washington, DC 20231

Sir:

**INFORMATION DISCLOSURE STATEMENT UNDER 37 C.F.R. § 1.97(b)**

Pursuant to 37 C.F.R. §§1.56 and 1.97(b), applicants bring to the Examiner's attention the documents listed on attached Form PTO-1449. Copies of the listed documents are attached. Applicants respectfully request that the Examiner consider the documents listed on attached Form PTO-1449 and indicate that they were considered by making an appropriate notation on this form.

This Information Disclosure Statement is being filed within three months of the filing date of the above-referenced application.

This submission does not represent that a search has been made or that no better art exists and does not constitute an admission that each or all of the listed documents are material or constitute "prior art." If the Examiner applies any of the documents as prior art against any claim in the application and applicants determine that the cited documents do not constitute "prior art" under United States law, applicants

FINNEGAN  
HENDERSON  
FARABOW  
GARRETT &  
DUNNER LLP

1300 I Street, NW  
Washington, DC 20005  
202.408.4000  
Fax 202.408.4400  
www.finnegan.com

reserve the right to present to the office the relevant facts and law regarding the appropriate status of such documents. Applicants further reserve the right to take appropriate action to establish the patentability of the disclosed invention over the listed documents, should one or more of the documents be applied against the claims of the present application.

If there is any fee due in connection with the filing of this Statement, please charge the fee to our Deposit Account No. 06-0916.

Respectfully submitted,

FINNEGAN, HENDERSON, FARABOW,  
GARRETT & DUNNER, L.L.P.

Dated: 2/7/02

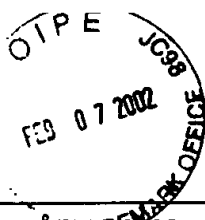
By: 

Ernest F. Chapman  
Reg. No. 25,961

Enclosures  
EFC/FPD/peg

FINNEGAN  
HENDERSON  
FARABOW  
GARRETT &  
DUNNER LLP

1300 I Street, NW  
Washington, DC 20005  
202.408.4000  
Fax 202.408.4400  
www.finnegan.com



## INFORMATION DISCLOSURE CITATION

Atty. Docket No.	086130002	Serial No.	09/991,914
Applicant	Douglas James LITTLE et al.		
Filing Date	November 26, 2001	Group:	

U.S. PATENT DOCUMENTS							
Examiner Initial*		Document Number	Issue Date	Name	Class	Sub Class	Filing Date If Appropriate

FOREIGN PATENT DOCUMENTS							
		Document Number	Publication Date	Country	Class	Sub Class	Translation Yes or No

OTHER DOCUMENTS (Including Author, Title, Date, Pertinent Pages, Etc.)	
	FTSE International, "Classifying Members of the Family", Triskel Communications Limited, pp. 2-8, October 1999.
	B. Solnik, "QUARTERLY FOCUS: DIRECTION FOR GLOBAL PORTFOLIO MANAGMENT", UBS Asset Management, pp. 1-5, March 31, 2001.
	P. Laband "IMPACT OF GLOBALISATION ON APPROACHES TO INVESTING", Constellation Capital, Towers- Perrin, pp. 1-14, June 2001.
	E. Kirzner, "BOTTOM-UP APPROACH GAINS POPULARITY: GLOBAL INVESTING: RECENT RESEARCH POINTS TO MERITS OF SECTOR SELECTION", Financial Post, p. 14, February 26, 2001.
	"LOCAL ANALYSIS CEDES TO GLOBAL VIEW", E-Financial News, pp. 1-3, June 25, 2001.
	C. Capaul, "ASSET-PRICING ANOMALIES IN GLOBAL INDUSTRY INDEXES", Financial Analysts Journal, pp. 17-31, Jul/Aug. 1999

Examiner	Date Considered
*Examiner: Initial if reference considered, whether or not citation is in conformance with MPEP 609; draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.	
Form PTO 1449	Patent and Trademark Office - U.S. Department of Commerce